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APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/697,541	10/30/2003	Buckwalter	G08.047/U

Buckley, Maschoff, Talwalkar & Allison LLC
 Five Elm Street
 New Canaan, CT 06840

CONFIRMATION NO. 7586

FORMALITIES LETTER



OC000000011777648

Date Mailed: 01/29/2004



NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

07/20/2004 HDEHES1 00000021 10697541

01 FC:1051

130.00 OP

Filing Date Granted

Items Required To Avoid Abandonment:

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

SUMMARY OF FEES DUE:

Total additional fee(s) required for this application is **\$130** for a Large Entity

- **\$130** Late oath or declaration Surcharge.

Replies should be mailed to: Mail Stop Missing Parts
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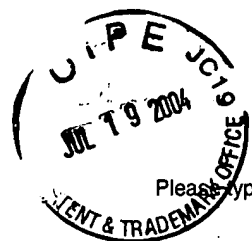
*A copy of this notice **MUST** be returned with the reply.*

BINH

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Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

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TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	10/697,541	
	Filing Date	October 30, 2003	
	First Named Inventor	BUCKWALTER, Alan M.	
	Group Art Unit	3628	
	Examiner Name	Not yet assigned	
Total Number of Pages in This Submission	9	Attorney Docket Number	G08.047/U

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input checked="" type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input checked="" type="checkbox"/> Declaration and Power of Attorney <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Copy of Notice to Filing Missing Parts, Credit Card Authorization Form for \$1,610.00 and Acknowledgement Postcard.
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Kurt M. Maschoff
Signature	<i>K M Maschoff</i>
Date	July 16, 2004

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: MS MISSING PARTS , Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450 on this date: July 16, 2004			
Type or printed name	Edith Martin		
Signature	<i>Edith Martin</i>	Date	July 16, 2004

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): BUCKWALTER et al.

Application No.: 10/697,541

Filed: October 30, 2003

Title: METHOD AND APPARATUS FOR
MONITORING AND EVALUATING
LIMIT ORDER TRADING

Attorney Docket No.: G08.047/u

Group Art Unit: 3628

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION

MS Missing Parts
Commissioner for Patents
P. O. Box 1450
Alexandria, VA 22313-1450

Sir:

This is in response to a Notice to File Missing Parts of Application under 37 CFR 1.53(f). Enclosed is a copy of the Notice and the following documents and fees to complete the filing requirements of the above-identified application.

(X) Executed Declaration and Power of Attorney. The above-identified application is the same application which the inventor executed by signing the enclosed declaration.

() Statutory basic filing fee (Utility)

() Additional claim fees

(X) Missing Parts Surcharge = \$130.00

(X) Extension of Time Surcharge = \$1,480.00

A Credit Card Authorization for \$1,610 is enclosed. In addition, the Commissioner is hereby authorized to charge and credit Deposit Account No. 50-1852 as described below. A duplicate copy of this sheet is enclosed.

(X) Credit any overpayment.

(X) Charge any additional fees required under 37 CFR 1.16 and 1.17.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: MS Missing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Date of Deposit: July 16, 2004

Typed Name: Edith Martin

Signature: Edith Martin

Respectfully submitted,

By

Kurt M. Maschoff
Kurt M. Maschoff
Reg. No. 38,235
(203) 972-0081 / Phone
Date: July 16, 2004